| 1 | DESCRIPTION |
|---|---|
| Operating Division (s) | Applies to the following Divisions: Large and Mid-Size Business, Small Business and Self Employed, Tax Exempt and Government Entities, Wage and Investment |
| Measure Name | **Education and Outreach Staff Years** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service To Each Taxpayer |
| Responsible Official | LMSB: Director Quality Assurance and Performance Management<br>SB/SE: Director, Strategy, Research & Performance Management<br>WI: Director, Strategy and Finance<br>TE/GE: Director, Planning |
| Definition | Staff years in all four operating divisions devoted to taxpayer education, outreach and liaison programs. Resources are allocated to this program to provide taxpayers with the information, support and assistance they need to understand and fulfill their tax obligations – before a return is filed. This includes staffing, training, and direct support. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Varies<br>Monthly Business Performance Summary |
| Formula/Methodology | In TE/GE ETS (TE/GE Technical Time Reporting System) identifies the direct time applied to Customer Education & Outreach programs within each unit (EP,EO,FSLG,ITG and TEB). Direct time is inflated to fully loaded staff years by dividing the direct time ratio from ETS. At the agency level, staff years reported for each operating division are added together to makeup the overall number. |
| Data Source/<br>Measurement Tools | TE/GE: ETS (TE/GE Technical Time Reporting System) Technical Time Analysis Tables |
| Reliability of Data | Reasonable Accuracy – The various systems used to capture data generate regular error registers that identify possible data discrepancies for resolution. Error registers are monitored monthly to ensure correction accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 2 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment / Small Business Self Employed |
| Measure Name | **Number of Taxpayers Assisted – Direct Participants** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to Each Taxpayer |
| Responsible Official | WI: Director, Customer Assistance, Relationships and Education (CARE) SBSE: Director, Taxpayer Education and Communication (TEC) |
| Definition | The number of customers participating in Outreach Activities/Events and pre-filing Compliance Alternative Treatment Initiatives |
| Reporting Level (s)<br>Report Data Source<br><br>Reports | Operating Division, Area, Territory<br>SPEC/TEC Monthly Activity Report – report manually developed at the Territory level, rolled up into Area Report, and finally into Nationwide report.<br>Monthly Business Performance Summary |
| Formula/Methodology | Actual count of each participant at activities/events and alternative treatment activities |
| Data Source/ Measurement Tools | SPEC/TEC Monthly Activity Report |
| Reliability of Data | Reasonable Accuracy – Reviews are performed monthly on data at Territory, Area and national levels to ensure accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 3 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment / Small Business Self Employed |
| Measure Name | **Number of Taxpayers Assisted – Direct Participants** |
| Type of Measure | Diagnostic Indicator |
| 3. Program Category<br>4. Related Strategic Goal | Pre-Filing Services<br>Service to Each Taxpayer |
| Responsible Official | WI: Director, Customer Assistance, Relationships and Education (CARE) SBSE: Director, Taxpayer Education and Communication (TEC) |
| Definition | The number of customers participating in Outreach Activities/Events and pre-filing Compliance Alternative Treatment Initiatives |
| Reporting Level (s)<br>Report Data Source<br><br>Reports | Operating Division, Area, Territory<br>TEC Monthly Activity Report – report manually developed at the Territory level, rolled up into Area Report, and finally into Nationwide report.<br>Monthly Business Performance Summary |
| Formula/Methodology | Actual count of each participant at activities/events and alternative treatment activities |
| Data Source/ Measurement Tools | TEC Monthly Activity Report |
| Reliability of Data | Reasonable Accuracy – Reviews are performed on data at Territory, Area and national levels to ensure accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 4 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Volunteer Hours Reported** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | Consolidated total of all reported hours spent on each Stakeholder, Partnership, Education & Communication (SPEC)program such as the Volunteer Income Tax Assistance (VITA) program and the Tax Counseling for the Elderly (TCE) program. |
| Reporting Levels<br>Report Data Source<br>Reports | Operating Division, Unit<br>Taxpayer Educational Statistical Report<br>Monthly Business Performance Summary Report |
| Formula/Methodology | Volunteers complete a worksheet each time they work at an assistance site, recording the number of people they have helped, the number of tax returns they prepared, and the number of hours they worked. The worksheets are then mailed to the appropriate Territory Stakeholder, Partnership Education & Communication (SPEC) office where they are input to the QIER database which tallies the number of hours worked by each volunteer and each site, as well as the number of returns prepared by volunteer, by site, etc. |
| Data Source/<br>Measurement Tools | Taxpayer Educational Statistical Report (QIER) |
| Reliability of Data | Questionable Accuracy – volunteers complete their own worksheet before leaving the site. Data is input directly from worksheet into the QIER database with entry fields matching the worksheet. The data is only reliable to the extent that the volunteers prepare correct and timely information. |
| Frequency of Data Availability/Reporting | Monthly |

| 5 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Number Volunteer Locations** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service To Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | Number of volunteer-staffed, tax assistance sites throughout communities coordinated by Stakeholder, Partnership Education & Communication (SPEC) personnel and tax assistance sites sponsored by non-profit organizations receiving Tax Counseling for Elderly (TCE) grants to provide this service |
| Formula/Methodology | Actual count of all sites input to system manually. |
| Data Source/<br>Measurement Tools | Taxpayer Educational Statistical Report (QIER) |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Taxpayer Educational Statistical Report (QIER)<br>Monthly Business Performance Summary |
| Reliability of Data | Reasonable Accuracy – data is good at all levels. Territory Managers maintain a list of all volunteer sites within their jurisdiction. The data is loaded onto the QIER report and uploaded to National Office. |
| Frequency of Data Availability/Reporting | Monthly |

| **4** | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Small Business and Self Employed Outreach Events/Activities** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | The number of outreach activities and events delivered. An event can be a workshop, presentation, speech, media interview provided to taxpayers or other customers in an effort to assist taxpayers and enhance compliance. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area, Territory<br>TEC Monthly Activity Report<br>Monthly Business Performance Summary |
| Formula/Methodology | Actual count of the number of activities completed. |
| Data Source/<br>Measurement Tools | TEC Monthly Activity Report . The report is manually developed at the Territory level; rolled up into Area report; and finally into the National level report |
| Reliability of Data | Reasonable Accuracy – # of products is a manual count, however, reviews are performed at the Territory, Area and National levels monthly to ensure accuracy. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 7 | DESCRIPTION |
|---|---|
| Operating Division | Tax Exempt and Government Entities |
| Measure Name | **Employee Plans and Exempt Organization Determination Letters** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to All Taxpayers |
| Responsible Official | Director, Planning |
| Definition | Cases established on the TE/GE Determination System (EDS) and closed on that system regardless of type of case or type of closing. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>TE/GE Determination System (EDS)<br>Monthly Business Performance Summary Report |
| Formula/Methodology | Fiscal Year cumulative count of cases closed on EDS (EP/EO Determination System) |
| Data Source/<br>Measurement Tools | TE/GE Determination System (EDS) Table 2A |
| Reliability of Data | Reasonable accuracy. EDS is programmed to generate error registers that identify possible data discrepancies. The registers are provided monthly to the Director, EP Rulings and Agreements, the Director, EO Rulings and Agreements and to the Director, Business Systems Planning for resolution. |
| Frequency of Data Availability/Reporting | Monthly |

| 8 | DESCRIPTION |
|---|---|
| Operating Division | Chief Counsel |
| Measure Name | **Total Number Of Private Letter Rulings Completed** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service To Each Taxpayer |
| Responsible Official | Special Counsel (Modernization & Strategic Planning) |
| Definition | Total number of Private Letter Rulings (PLRs) completed by the Office of the Chief Counsel. PLR's are written statements that address specific, tax-related issues pertaining to the taxpayer and the IRS about the tax treatment of particular matters before a taxpayers return is filed. These techniques reduce taxpayer burden, eliminate controversy, and enhance voluntary compliance, even before the taxpayer is involved. Private Letter Ruling program is the largest single program in Chief Counsel. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Division<br>CASE-MIS (Counsel Automated System Environment-Mgt. Information System)<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Private Letter Rulings that are completed during the fiscal year. Each case is accounted for from date of receipt to date of completion. |
| Data Source/<br>Measurement Tools | CASE-MIS (Counsel Automated System Environment – Mgmt. Information System) |
| Reliability of Data | Reasonable Accuracy. Case workload is logged in the CASE MIS project tracking system by the individuals involved with each case. Each Associate Chief Counsel involved with PLRs receives and verifies a quarterly run of case workload under their responsibility. |
| Frequency of Data<br>Availability/Reporting | Quarterly. |

| 9a | DESCRIPTION |
|---|---|
| Operating Division | Large and Mid-Size Business |
| Measure Name | **Pre-Filing Agreements** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service To Each Taxpayer |
| Responsible Official | Director, Quality Assurance & Performance Management |
| Definition | Pre-filing agreements are agreements reached between the Government and the taxpayer with regard to the tax treatment of specific transactions, prior to filing the income tax return for the year in which the transaction took place. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Industry Directors.<br>Manual Count<br>Monthly Business Performance Summary |
| Formula/Methodology | Number of pre-filing agreements received and approved broken down by industry type during the fiscal year are tracked by the Office of Pre-Filing. |
| Data Source/<br>Measurement Tools | The measure is currently captured manually. Information is obtained from the Pre-Filing Office each month by telephone. |
| Reliability of Data | Questionable Accuracy – Manual Count - The number of participants in the Pre-Filing Agreement program are currently very limited, and individual cases are closely tracked and monitored at all levels of management from the team manager to the headquarters staff and management. The Pre-Filing Office intends to convert the system to a database in the future. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 9b | DESCRIPTION |
|---|---|
| Operating Division | Chief Counsel |
| Measure Name | **Total Advanced Pricing Agreements (APAs) Completed** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to Each Taxpayer |
| Responsible Official | Special Counsel (Modernization & Strategic Planning |
| Definition | Advance Case Resolution techniques, including Private Letter Rulings, and Advance Pricing Agreements, provide both the taxpayer and the IRS with certainty about the tax treatment of particular matters before a taxpayers return is filed. These techniques reduce taxpayer burden, eliminate controversy, and enhance voluntary compliance, even before the taxpayer is involved. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Division<br>CASE MIS (Counsel Automated System Environment – Mgt. Information System)<br>Monthly Business Performance Summary |
| Formula/Methodology | Total Advanced Pricing Agreements completed by the Office of Chief Counsel. Each case is accounted for from date of receipt to date of completion. |
| Data Source/ Measurement Tools | CASE-MIS (Counsel Automated System Environment – Mgmt. Information System) |
| Reliability of Data | Reasonable Accuracy. Case workload is logged in the CASE MIS project tracking system by the individuals involved with each case. The Associate Chief Counsel office responsible for APAs receives and verifies a quarterly run of case workload under their responsibility. |
| Frequency of Data Availability/Reporting | Quarterly. |

| 10 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Number of Alternative Treatments Initiatives** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Taxpayer Communication and Education<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | Number of Alternative Treatments: Voluntary Agreements entered into, and Industry Guides produced. Other Alternative treatments may be included as ownership is transitioned to Taxpayer Education & Communication (TEC). |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Manual Count<br>Monthly Business Performance Summary |
| Formula/Methodology | Number of Alternative Treatments: Voluntary Agreements entered into, and Industry Guides produced. |
| Data Source/<br>Measurement Tools | Monthly report from each Area office |
| Reliability of Data | Questionable Accuracy – # of products is a manual count. Raw data is submitted monthly by each location and rolled up into a cumulative report. The program staff manually checks the data monthly for anomalies as it is rolled up into National level report. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 11 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Electronic Tax Law Assistance (ETLA)Questions Received** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Account Management and Assistance – Electronic/Correspondence Assistance<br>Service to Each Taxpayer |
| Responsible Official(s) | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Number of receipts produced in ETLA program. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Mailman Database<br>Monthly Business Performance Summary |
| Formula/Methodology | Measure is a count of the number of ETLA inquiries closed during a given period--daily, weekly, monthly, fiscal year. Reports may be generated for any specified date range. |
| Data Source/<br>Measurement Tools | ETLA Report 4 |
| Reliability of Data | Reasonable Accuracy – counts for ETLA Inquiries/closures are computer generated each time messages are downloaded to the Mailman database. Closures are counted as cases resolved and action is posted. Summary records are maintained which allow counts to be generated for weekly, monthly and fiscal year periods as well as other specified data ranges. Summary records are also used to balance receipts, closures, and ending inventory. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 12 | DESCRIPTION |
|---|---|
| Operating Division | Taxpayer Advocate Service |
| Measure Name | **Number of Advocacy Projects** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service To Each Taxpayer |
| Responsible Official | Director, Program Planning & Quality |
| Definition | An Advocacy Project is an Operating Division Taxpayer Advocate (ODTA) project in which an operational issue is identified that adversely affects a group of taxpayers. The measure is a cumulative total of all Advocacy Projects to date by fiscal year. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Advocacy Project Tracking System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | The measure is obtained by querying the Standard Web Based Application database for all Advocacy issues/projects received/initiated during a specific fiscal year. This is possible because Advocacy Projects are entered onto the database using a separate category for each fiscal year. For example, in fiscal year 2000 Advocacy Projects are entered in the ODTA 2000 category, in fiscal year 2001 the category will be ODTA 2001, etc. |
| Data Source/ Measurement Tools | The data is first entered onto the Advocacy Project Tracking System (APTS) database when an issue is received. At this point a determination is made as to whether the issue will be treated as an Advocacy Project. It is then entered onto the Standard Web-based Action Plan (SWAP) database when the Advocacy Project is begun. The data is an extract of the total number of Advocacy Projects for a fiscal year. This comes from SWAP, and reflects the total number of Advocacy *Projects* that were *initiated* in a fiscal year. |
| Reliability of Data | Reasonable Accuracy - A process to verify and/or validate the data collected is under development. |
| Frequency of Data Availability/Reporting | The data is made available through web-based reports that can be printed on a daily, weekly or monthly basis. The data on these reports is real-time, or live, data. So each time a report is printed, it reflects the most recent changes to the database. |

| 13 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Individual 1040 Series Returns Filed (projected)** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | Projected count of Forms 1040/A/EZ/PC 1040NR/PR/SS that will be filed |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Campus<br>Master File<br>Monthly Business Performance Summary |
| Formula/Methodology | The IRS Research staff develops and updates the forecasts semi-annually to reflect the changes in filing patterns, statutory requirements, and administrative procedures. The updates also incorporate the current economic and demographic outlooks. Forecasts of most economic and demographic data series used to prepare the return projections are provided by Data Resources, Inc (DRI)/McGraw Hill. Enacted tax law changes and confirmed administrative plans are reflected in these return projections. However, legislative or administrative initiatives under consideration are generally not used to update these return projections because of the uncertainty of their eventual outcome. |
| Data Source/<br>Measurement Tools | Actual: 308 Reports (Master File Report extracts)<br>Projections: Research and Statistics of Income Document 6292, Fall 2000 - Table 1. |
| Reliability of Data | Reasonable Accuracy – The master files have extensive consistency and validity checks before returns are accepted and the data is posted to taxpayer accounts. In addition to matching entity information and validating Taxpayer Identification Numbers (TINs), checks are conducted for duplicate and erroneous or fraudulent filings, math errors, etc. all of the systems on which the Master Files are recorded are maintained, updated and routinely tested by Information Systems. |
| Frequency of Data Availability/Reporting | Semiannually |

| 14 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Total Paper Business Returns Filed (projected)** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services<br>Service to Each Taxpayer |
| Responsible Official(s) | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Projected count of Forms filed for Individual Estimated Tax, Fiduciary, Fiduciary Estimated Tax, Partnership, Corporation, Estate Tax, Gift Tax, Employment Tax, Form 1042, Exempt Organization, Employee Plans, Excise, Form 8752 |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Campus<br>Master File<br>Monthly Business Performance Summary |
| Formula/Methodology | The IRS Research staff develops and updates the forecasts semi-annually to reflect the changes in filing patterns, statutory requirements, and administrative procedures. The updates also incorporate the current economic and demographic outlooks. Forecasts of most economic and demographic data series used to prepare the return projections are provided by Data Resources, Inc (DRI)/McGraw Hill. Enacted tax law changes and confirmed administrative plans are reflected in these return projections. However, legislative or administrative initiatives under consideration are generally not used to update these return projections because of the uncertainty of their eventual outcome. |
| Data Source/<br>Measurement Tools | Actual: 308 Reports (Master File Report extracts)<br>Projections: Research and Statistics of Income Document 6292, Fall 2000 - Table 1. |
| Reliability of Data | Reasonable Accuracy – The master files have extensive consistency and validity checks before returns are accepted and the data is posted to taxpayer accounts. In addition to matching entity information and validating Taxpayer Identification Numbers (TINs), checks are conducted for duplicate and erroneous or fraudulent filings, math errors, etc. all of the systems on which the Master Files are recorded are maintained, updated and routinely tested by Information Systems. |
| Frequency of Data Availability/Reporting | Monthly |

| 15 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Total Electronic 1040 Series Returns Filed – values are projected for future fiscal years, actual counts are presented for the current fiscal year.** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | Count of returns in the 1040 series that are filed or are projected to be filed electronically |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Campus<br>ELF Report 1541<br>Monthly Business Performance Summary |
| Formula/Methodology | **Actual Counts:** Returns filed through the e-file system are assigned unique Document Locator Numbers (DLNs) to identify them as electronically filed returns. At the time of processing, returns generated on-line pass through a series of checks to ensure that the transmitter data and individual return data are correct and valid. Returns filed through Electronic Return Originators (ERO) will not be accepted unless they have: 1) correct Electronic Filer Identification Numbers (EFINs), 2) entity information that matches current IRS files, 3) correct Taxpayer Identification Numbers (TINs), 4) no returns fields with incomplete or erroneous information.<br><br>**Projections:** The IRS Research staff develops and updates the forecasts semi-annually to reflect the changes in filing patterns, statutory requirements, and administrative procedures. The updates also incorporate the current economic and demographic outlooks. Forecasts of most economic and demographic data series used to prepare the return projections are provided by Data Resources, Inc (DRI)/McGraw Hill. Enacted tax law changes and confirmed administrative plans are reflected in these return projections. However, legislative or administrative initiatives under consideration are generally not used to update these return projections because of the uncertainty of their eventual outcome. |
| Data Source/ | Electronic Filing System data as reported to the ETA website (www.eta.hq.irs.gov) |

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| Measurement Tools | Individual Electronic counts from Table 1A Doc 6187, revised in both the Spring/Fall of each year. |
| Reliability of Data | Reasonable Accuracy – The master files have extensive consistency and validity checks before returns are accepted and the data is posted to taxpayer accounts. In addition to matching entity information and validating Taxpayer Identification Numbers (TINs), checks are conducted for duplicate and erroneous or fraudulent filings, math errors, etc. all of the systems on which the Master Files are recorded are maintained, updated and routinely tested by Information Systems. projections because of the uncertainty of their eventual outcome. Since the Research Staff uses the actual counts component of this measure in calculating out year projections, one can assume that the information used will have undergone validity check |
| Frequency of Data Availability/Reporting | Monthly |

| 16 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Electronic Business Returns Filed – values are projected for future fiscal years, actual counts are presented for the current fiscal year.** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services<br>Service to Each Taxpayer |
| Responsible Official(s) | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Count of returns in the business series that are filed or are projected to be filed electronically |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Campus<br>ELF Report 1541<br>Monthly Business Performance Summary |
| Formula/Methodology | **Actual Counts:** Returns filed through the e-file system are assigned unique Document Locator Numbers (DLNs) to identify them as electronically filed returns. At the time of processing, returns generated on-line pass through a series of checks to ensure that the transmitter data and individual return data are correct and valid. Returns filed through an Authorized e-file for Business Provider will not be accepted unless they have: 1) correct Electronic Filer Identification Numbers (EFINs), 2) entity information that matches current IRS files, 3) correct Taxpayer Identification Numbers (TINs), 4) no returns fields with incomplete or erroneous information.<br><br>**Projections:** The IRS Research staff develops and updates the forecasts semi-annually to reflect the changes in filing patterns, statutory requirements, and administrative procedures. The updates also incorporate the current economic and demographic outlooks. Forecasts of most economic and demographic data series used to prepare the return projections are provided by Data Resources, Inc (DRI)/McGraw Hill. Enacted tax law changes and confirmed administrative plans are reflected in these return projections. However, legislative or administrative initiatives under consideration are generally not used to update these return projections because of the uncertainty of their eventual outcome. |
| Data Source/ Measurement Tools | Electronic Filing Systems data as reported to the ETA website (www.eta.hq.irs.gov)<br>Table 1A, Doc 6187, rev. 10-00 by NHQ Research Projections Staff.<br>MGT 01,MGT0744,Tel02B. |
| Reliability of Data | Reasonable Accuracy – The master files have extensive consistency and validity checks before |

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| | returns are accepted and the data is posted to taxpayer accounts. In addition to matching entity information and validating Taxpayer Identification Numbers (TINs), checks are conducted for duplicate and erroneous or fraudulent filings, math errors, etc. All of the systems on which the Master Files are recorded are maintained, updated and routinely tested by Information Systems. Since the Research Staff uses the actual counts component of this measure in calculating out year projections, one can assume that the information used will have undergone validity check. |
| Frequency of Data Availability/Reporting | Monthly |

| **17** | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment– Small Business/Self Employed |
| Measure Name | **Total Primary Returns Filed** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services<br>Service To Each Taxpayer |
| Responsible Official(s) | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Combined count of all primary returns (paper and electronic) |
| Reporting Level (s) | Operating Division, Campus |
| Report Data Source Reports | See Individual Measures |
| Formula/Methodology | Combines the results of critical measures:<br>Individual 1040 Series (paper)(3121)<br>Business Returns (paper) (3122)<br>Individual 1040 Series (electronic) (3123)<br>Business Returns (electronic) (3124)<br>The IRS Research staff develops and updates the forecasts semi-annually to reflect the changes in filing patterns, statutory requirements, and administrative procedures. The updates also incorporate the current economic and demographic outlooks. Forecasts of most economic and demographic data series used to prepare the return projections are provided by Data Resources, Inc (DRI)/McGraw Hill. Enacted tax law changes and confirmed administrative plans are reflected in these return projections. However, legislative or administrative initiatives under consideration are generally not used to update these return projections because of the uncertainty of their eventual outcome. |
| Data Source/ Measurement Tools | Total primary returns from Doc 6292, revised 9-00 are used for projections. Actual counts for paper and electronic returns (both business and individual) are combined to total the number of primary returns filed.<br>Business from NHQ Research projections staff for forms 941, 940, 1041, 1065 |

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| Reliability of Data | Questionable Accuracy – The count for this measure is computed manually, however, the data is derived from the master files which have extensive consistency and validity checks before returns are accepted and the data is posted to taxpayer accounts. In addition to matching entity information and validating Taxpayer Identification Numbers (TINs), checks are conducted for duplicate and erroneous or fraudulent filings, math errors, etc. all of the systems on which the Master Files are recorded are maintained, updated and routinely tested by Information Systems. |
| Frequency of Data Availability/Reporting | Monthly |

| 18 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Percent of Individual Returns Filed Electronically** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to Each/All Taxpayers |
| Responsible Official | Director, Strategy & Finance |
| Definition | Number of electronically filed individual tax returns divided by the total individual returns filed. Includes all returns where electronic filing is permitted (practitioner e-file, Telefile, VITA [Volunteer Income Tax Assistance], On –Line Filing, Federal/State returns, etc.). |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Campus<br>Management Information System for Top Level Executives (MISTLE)<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | The percentage is calculated by dividing actual e-file return number by the total number of returns filed. |
| Data Source/<br>Measurement Tools | MISTLE (Management Information System for Top Level Executives) based on e-file report 1541 and information from the 308 reports. |
| Reliability of Data | Reasonable Accuracy – Returns filed through the e-file system are assigned unique Document Locator Number (DLNs) to identify them as electronically field returns. At the time of processing, returns filed electronically pass through a series of checks to ensure that the transmitter data and individual return data are correct and valid. Returns filed through Electronic Return Originators will not be accepted without correct electronic filer identification numbers (EFINs), matching entity information and correct Taxpayer Identification Number (TINs) or with incomplete information or erroneous information on any fields of the return. The summary data, including the number of individual returns filed electronically, is contained in Report 1541. The 308 reports are Master File reports extracts used by the service centers, which provide the actual number of returns filed. Initial management reviews are performed on the data to identify anomalies. Management production meetings are held in the service centers on a weekly basis for review and analysis of the data. When the total e-file record has been established and verified, the returns pass into routine processing streams and master file systemic checks. The electronic filing systems are maintained, updated, and routinely tested by Information Systems. |

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|---|---|
| Frequency of Data Availability/Reporting | Monthly |

| 19 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment |
| Measure Name | **Number of Information Returns Filed Electronically** |
| Type of Measure | Diagnostic Indicator |
| Program Category<br>Related Strategic Goal | Pre-Filing<br>Service to Each Taxpayer<br>Service to All Taxpayers |
| Responsible Official | W:E DEF Contact: Nayda Maldonado, (202) 283-0806<br>Van L. Richins (SBSE) (202) 283-7030 |
| Definition | Total number of information returns filed electronically - includes Forms 1098, 1099, 5498, W-2G, and Schedules K-1 (excludes Forms W-2 and 1099-SSA/RRB received from SSA. |
| Reporting Level (s)<br>Report Data Source:<br>Reports | Operating Division<br>W-2 Control Report (413-06-41), IRP Reformat Run (405-02-12), and IRP Counts for 1099 SSA/RRB (405-OA-40).<br>Monthly Business Performance Summary |
| Formula/Methodology | SBSE provides a Summary Table that contains cumulative totals for Information Returns filed electronically, by magnetic tape, and by paper. The Summary Table is based on IRP Reformat Run (405-02-12), W-2 Control Report (413-06-41), and IRP Counts for 1099 SSA/RRB (405-OA-40). |
| Data Source/ Measurement Tools | IRP Reformat Run (405-02-12) |
| Reliability of Data | Reasonable Accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 20 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment |
| Measure Name | **Percent of Information Returns Filed Electronically** |
| Type of Measure | Diagnostic Indicator |
| Program Category<br>Related Strategic Goal | Pre-Filing<br>Service to Each Taxpayer<br>Service to All Taxpayers |
| Responsible Official | W:E DEF Contact: Nayda Maldonado, (202) 283-0806<br>Van L. Richins (SBSE) (202) 283-7030 |
| Definition | This is the percent of information returns filed electronically - includes Forms 1098, 1099, 5498, W-2G, and Schedules K-1 (excludes Forms W-2 and 1099-SSA/RRB received from SSA against total information returns filed. |
| Reporting Level (s)<br>Report Data Source:<br><br>Reports | Operating Division<br>W-2 Control Report (413-06-41), IRP Reformat Run (405-02-12), and IRP Counts for 1099 SSA/RRB (405-OA-40).<br>Monthly Business Performance Summary |
| Formula/Methodology | SBSE provides a Summary Table that contains cumulative totals for Information Returns filed electronically, by magnetic tape, and by paper. The Summary Table is based on IRP Reformat Run (405-02-12), W-2 Control Report (413-06-41), and IRP Counts for 1099 SSA/RRB (405-OA-40). The percentage is derived by dividing the Number of Information Returns filed electronically by Total Number of information Returns Filed. |
| Data Source/ Measurement Tools | IRP Reformat Run (405-02-12) |
| Reliability of Data | Reasonable Accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 21 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment / Small Business Self Employed |
| Measure Name | **Number of Non-Paper Information Filed Magnetic Media** |
| Type of Measure | Diagnostic Indicator |
| Program Category<br>Related Strategic Goal | Pre-Filing<br>Service to Each Taxpayer<br>Service to All Taxpayers |
| Responsible Official | W:E DEF Contact: Nayda Maldonado, (202) 283-0806<br>SBSE: Van L. Richins, (202) 283-7030 |
| Definition | Total number of information returns filed by magnetic tape including Forms 1098, 1099, 5498 and W-2G (excludes Forms W-2 and 1099-SSA/RRB received from SSA). |
| Reporting Level (s)<br>Report Data Source:<br><br>Reports | Operating Division<br>IRP Reformat Run (405-02-12), W-2 Control Report (413-06-41), and IRP Counts for 1099 SSA/RRB (405-OA-40).<br>Monthly Business Performance Summary |
| Formula/Methodology | SBSE provides a Summary Table that contains cumulative totals for Information Returns filed electronically, by magnetic tape, and by paper. The Summary Table is based on IRP Reformat Run (405-02-12), W-2 Control Report (413-06-41), and IRP Counts for 1099 SSA/RRB (405-OA-40). |
| Data Source/ Measurement Tools | IRP Reformat Run (405-02-12) |
| Reliability of Data | Reasonable Accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 22 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment |
| Measure Name | **Percent of Non-Paper Information Returns Filed Magnetic Media** |
| Type of Measure | Diagnostic Indicator |
| Program Category<br>Related Strategic Goal | Pre-Filing<br>Service to Each Taxpayer<br>Service to All Taxpayers |
| Responsible Official | Director, Diversified Electronic Filing (W:E:DEF)/Nayda Maldonado, (202) 283-0806 |
| Definition | All individual and all business tax type payments made through EFTPS, divided by the total tax payments received through electronic sources plus deposits received at IRS sites as well as through designated Treasury lockboxes. |
| Reporting Level (s)<br>Report Data Source:<br>Reports | Operating Division<br>IMF and BMF EFT Deposits Monitoring Report (PRF: 180-N2-11)<br>Monthly Business Performance Summary |
| Formula/Methodology | Calculation: Number of Federal Tax Payment Transactions Paid Electronically divided by Number of Total Federal Tax Payment Transactions Paid. |
| Data Source/ Measurement Tools | IMF and BMF EFT Deposits Monitoring Report (PRF: 180-N2-11); actual depository tax payments reported to the MasterFile. |
| Reliability of Data | Reasonable Accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 23 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Number of Federal Tax Payment Transactions Paid Electronically** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | All individual and business tax type payment made directly through Electronic Federal Tax Payment System (EFTPS), through IRS e-file, through payroll service providers or through credit card processors. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>EFTPS Daily Operational Reports<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | A straight line addition of the total number of individual and business type tax payments made through the EFTPS. |
| Data Source/<br>Measurement Tools | EFTPS Database Reports from Tennessee Computing Center |
| Reliability of Data | Reasonable Accuracy – EFTPS Operations Reports compile statistics and perform balancing routines for all payment transactions processed through EFTPS. Report data is validated daily prior to the release of the Tape-Edit Processor (TEP) file to MCC. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 24 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment |
| Measure Name | **Number of Downloads from IRS Digital Daily Website (IRS.GOV)** |
| Type of Measure | Diagnostic Indicator |
| Program Category<br>Related Strategic Goal | Pre-Filing<br>Service to Each Taxpayer<br>Service to All Taxpayers |
| Responsible Official | Director, Modernization Project Office/Nayda Maldonado, (202) 283-0806 |
| Definition | Number of files downloaded from the IRS web site. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>FTP (File Transfer Protocol) server logs<br>Monthly Business Performance Summary |
| Formula/Methodology | Every time a web site user requests a file download from the web site, a log entry is made to record the action and the requested file name. The log files are analyzed monthly and reports created by the vendor for each directory on the FTP servers and the total for all directories. |
| Data Source/ Measurement Tools | FTP (File Transfer Protocol) server logs are analyzed monthly by the web-hosting vendor to provide a count of the total files downloaded from the web site. |
| Reliability of Data | Reasonable Accuracy. |
| Frequency of Data Availability/Reporting | Monthly |

| 25 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **IRS Digital Daily Hits** |
| Type of Measure | Diagostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Pre-Filing Services<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | Indication of the amount of traffic on/usage of the web site www.irs.gov . (This definition is expected to change in FY 2002 with Vendor/ETA:MPO enhancements) |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Digital Daily Web Site Statistic Report<br>Monthly Business Performance Summary |
| Formula/Methodology | A “hit” is counted each time the web server sends a component of a web page to a user’s browser. A single web page may contain form 1 to several elements that cause a “hit” to be recorded, therefore, a single visit to a single page can record multiple hits. Measure is a straight line addition of all “hits” to the IRS Digital Daily web site |
| Data Source/<br>Measurement Tools | Source Report: Digital Daily Web Site Statistics Report, ETA Web Site |
| Reliability of Data | Reasonable Accuracy – web site “hits” are automatically recorded in the computer system log. Automated system software counts the number of hits on a daily basis. |
| Frequency of Data<br>Availability / Reporting | Monthly |

| 26 | Description |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Customer Account Correspondence** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services – Accounts Management and Assistance<br>Service to Each Taxpayer |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Number of correspondence cases closed in the Adjustments/Correspondence and Taxpayer Relations branches in the service centers. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Paper Inventory Report – JOC Home Page – Select Adjustments and Taxpayer Relations<br>Monthly Business Performance Summary |
| Formula/Methodology | Actual Production figures (closures) are reported by each site on a weekly basis.<br>Assumptions – closures based on historical projected receipts adjusted for required workload realignments to support the operating division transition at each service center and other known systemic, procedural, and legislative changes. In addition, planned closures in the October-December and July-September reporting periods assume maintaining inventory levels at 9 days of work in inventory and 15 days in the January-June reporting period. Staff year requirements calculated at each service center's historical production rate with overhead (excluding training) calculated primarily on each center's historical percent to direct. Training hours limited to a rollover of projected FY 2000 actual plus training hours required for STABLE hires and transition. |
| Data Source/ Measurement Tools | AMIR (Accounts Management Inventory Report) |
| Reliability of Data | Reasonable Accuracy – Cases closed on Integrated Data Retrieval System are counted and subsequently reported on weekly Customer Correspondence Account runs in each service center. Each center then feeds their data to the Accounts Management Inventory Report. Individual AMIR reports are submitted to National Office for consolidation and distribution. |
| Frequency of Data Availability/Reporting | Monthly |

| 27 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage & Investment /Small Business Self Employed |
| Measure Name | **Customer Account Correspondence Quality** |
| Type of Measure | Diagnostic Indicator |
| Program Category<br>Related Strategic Goal | Filing & Account Services<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy and Finance<br>SBSE: Director, Strategy, Research and Performance Management |
| Definition | The quality of actions taken on correspondence received in Adjustments as a result of taxpayer inquiries or internal requests. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Quality Review Database (QRDb)<br>Monthly Business Performance Summary |
| Formula/Methodology | Percentage of accurate account actions. |
| Data Source/ Measurement Tools | Quality Review Database (QRDb) |
| Reliability of Data | Reasonable Accuracy – Reviews are conducted by the Program Analysis Unit (PAS) in the sites and data is entered into QRDb. The QRDb contains several levels of validation that occur as part of the review process. First, the input records are validated requiring entries and combinations of entries based upon the relationships inherent in the work or based upon an entry in a quality attribute. In addition, every review is available on-line to the site for verification purposes. Sites monitor their review records daily and have a small rebuttal period to contest any review. |
| Frequency of Data Availability/Reporting | Monthly |

| 28 | DESCRIPTION |
|---|---|
| Operating Division/Function | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Teletax and Toll-Free Automated Calls** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services – Accounts Management and Assistance<br>Service to Each Taxpayer |
| Responsible Official | WI: Director, Strategy & Finance<br><br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The count of all calls answered at Toll-Free Customer Service sites by an automated system including Tele-tax. |
| Reporting Level (s)<br>Report Data Source<br><br>Reports | Operating Division, Site<br>Snapshot http://joc.enterprise.irs.gov/ - JOC Home Page –Select Snapshot (prior year data will be provided by JOC under old definition)<br>Monthly Business Performance Summary |
| Formula/Methodology | Straight line addition of the Total Calls Answered (Teletax and Automated) from the systemic records available on the JOC |
| Data Source/<br>Measurement Tools | Enterprise Telephone Database (ETD) |
| Reliability of Data | Reasonable Accuracy – Teletax call data is extracted from AT&T and the Telephone Routing Interactive System (TRIS). Data is validated between the two systems. For automated calls, core data is fed from TRIS to ETD. In addition, ETD receives data from each individual Automated Call Distributor in each site. Geotel$^{TM}$ also receives high level counts of volumes sent to automation via the Intelligent Call Router (ICR) during peak call periods. Data is validated by ETD to ensure accurate data is being received. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 29 | DESCRIPTION |
|---|---|
| Operating Division | Wage & Investment – Small Business/Self Employed |
| Measure Name | **Assistor Calls Answered** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services – Accounts Management and Assistance<br>Service To Each Taxpayer |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The count of all customer calls answered by assistors at telephone sites for Toll-Free product lines (1040,8815 and 4262 |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Enterprise Telephone Database (ETD)<br>Monthly Business Performance Summary |
| Formula/Methodology | Total Calls Offered by Product Line (1040,8815 & 4262) – (Total transfers Out + Unusable Messages + Emergency Closings + Aspect Busies + Selected Expanded Access (SEA) busies + Total Automated Calls Answered + Total Abandoned Calls) |
| Data Source/<br>Measurement Tools | Enterprise Telephone Database (ETD) |
| Reliability of Data | Reasonable Accuracy – Data originates from the Aspect ACD. Data is automatically fed to and compiled in ETD. Intelligent Contact Management (ICM) collects call data from each individual Aspect ACD in each site. Data validation takes place to ensure accurate data is fed to ETD. In addition, the Joint Operations Center (JOC) periodically verifies ETD data using ICM. ICM data can be compromised by a loss of connectivity of one or more ACDs. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 30 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Toll-Free Customer Satisfaction** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services – Accounts Management and Assistance<br>Service to Each Taxpayer |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Customer's perception of IRS service received. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Summary |
| Formula/Methodology | Sample sizes selected to provide maximum of +/- 5% confidence interval at a 95% confidence level for lowest reporting of organization. A representative sample of customers calling the IRS Toll-Free telephone numbers are surveyed by an independent contractor to assess their satisfaction with the service they received during their calls. W&I/CAS receive Customer Satisfaction Survey reports from the IRS survey vendor, Pacific Consulting Group. LIMITATIONS on the survey data not affecting the statistical validity include: Only customers calling one of the IRS Toll-Free telephone numbers are included in the sample. Calls are selected based on a sampling pattern that includes variables for the hour of day, day of week, and time of year and customers calling when IRS monitors are not available (Saturday, Sunday and some evening hours) are excluded from the survey. |
| Data Source/<br>Measurement Tools | Customer Satisfaction Surveys |
| Reliability of Data | Reasonable Accuracy – PCG compiles, verifies, and reports on the survey data. The service worked with PCG to design the survey process so that the Service can maintain an "arms' length" relationship with the data gathering and reporting processes. |
| Frequency of Data<br>Availability/Reporting | Quarterly |

| **31** | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Toll-Free CSR Level of Service** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services<br>Service to Each Taxpayer/Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The measure is reported as the percentage of taxpayers that are calling our toll-free services and speak to an assistor. Factors used to arrive at the level of service provided by assistors and taken into consideration in the calculation: Callers selecting an automated application, receiving a busy signal or abandoning while in queue waiting for an assistor. |
| Reporting Level (s)<br>Report Data Source<br><br>Reports | Operating Division, Site<br>Snapshot http://joc.enterprise.irs.gov/ - JOC Home Page – Select Snapshot (prior year data will be provided by JOC under old definition)<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Level of service will be expressed as:<br>Calls answered by (Customer Service Representatives (CSR) + Call answered through Selected Expanded Access (SEA) + Informational Messages [1]/(calls answered by (CSRs) + calls answered by SEA + SEA, Aspect and OCD (telephone carrier) busies + emergency messages[2] + CSR queue abandons). |
| Data Source/<br>Measurement Tools | Enterprise Telephone Database (ETD) |
| Reliability of Data | Reasonable Accuracy – Reasonable Accuracy – daily site data is transmitted overnight to a |

[1] Informational messages consist of a limited number of seasonal messages designed to target specific populations. For example, during the month of January an informational message might direct a taxpayer calling because they have not received their W-2 back to the employer since the IRS cannot assist with the issue.

[2] An emergency message might be necessary in the event a site has to shut down unexpectedly (bomb threat, fire or other evacuation). This message would be played for those callers that are in queue asking them to call back. In the future, these calls would be sent back to the enterprise phone system to be routed elsewhere. The ACD in this site would also be taken off line to prevent other callers from being routed to this particular site until the emergency situation has been resolved.

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|---|---|
| | database located in New Carrollton, MD. Each site is responsible to monitor data input and make corrections as necessary. National Office also monitors data input and looks for anomalies. When anomalies are identified, National Office contacts the site for validation and/or correction. This validation process continues throughout the fiscal year. |
| Frequency of Data Availability/Reporting | Monthly |

| 32 | Description |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Toll-Free Telephone Tax Law Quality** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services – Accounts Management and Assistance<br>Service to Each Taxpayer |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The percent of customer receiving accurate responses to their Tax Law inquiries. Evaluates the customer (external), administrative (internal) and regulatory accuracy of this service. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Quality Review Data Base (QRDB)<br>Monthly Business Performance Summary |
| Formula/Methodology | Calculated by taking the site quality rate (from Centralized Quality Review System (CQRS)) and weighting it using total site volume and number reviewed. These site numbers are then rolled up to a national number. |
| Data Source/<br>Measurement Tools | CQRS, Quality Management Information System (QMIS), Quality Review Database (QRDB) |
| Reliability of Data | Reasonable Accuracy – Sample Plans used by CQRS to review quality of Tax Law assistance at each site are designed by SOI for statistical validity. Several levels of validation occur as part of the review process. First, the input records are validated requiring entries and combinations of entries based upon the relationships inherent in different product lines or based upon an entry in a quality attribute. Second, the national reviews conducted by Centralized Quality Review Site staff on telephone product lines are sampled by local management and management officials at the CQRS site. In addition, every review is available on-line to the site for verification purposes. Sites monitor their review records daily and have a small rebuttal period to contest any review. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 33 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Toll-Free Telephone Accounts Quality** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Filing and Account Services – Accounts Management and Assistance<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The percent of customers receiving accurate responses to their account inquiries. Evaluates the customer (external), administrative (internal) and regulatory accuracy of this service. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Quality Review Database (QRDb)<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Calculated by taking the site quality rate (from Centralized Quality Review System (CQRS)) and weighting it using total site volume and number reviewed. These site numbers are then rolled up to a national number. |
| Data Source/<br>Measurement Tools | Quality Review Database (QRDB) is used to store review data collected from samples of phone calls. |
| Reliability of Data | Reasonable Accuracy – Sample plans used by CQRS to review quality of tax law assistance at each site are designed by SOI for statistical validity. Several levels of validation occur as part of the review process. First, the input records are validated requiring entries and combinations of entries based upon the relationships inherent in different product lines or based upon an entry in a quality attribute. Second, the national reviews conducted by Centralized Quality Review Site staff on telephone product lines are sampled by local management and management officials at the CQRS site. In addition, every review is available on-line to the site for verification purposes. Sites monitor their review records daily and have a small rebuttal period to contest any review. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 34 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Customer Satisfaction – Walk-in** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Field Assistance<br>Service to Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | From surveys established in 1998, Customer Service will create an index to represent overall customer satisfaction with Walk-in services. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Sample size selected to provide a maximum of +/- 5% confidence interval at a 95% confidence level for lowest reporting of organization. |
| Data Source/<br>Measurement Tools | Customer Service Satisfaction Surveys |
| Reliability of Data | Reasonable Accuracy |
| Frequency of Data Availability/Reporting | Quarterly |

| **35** | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Total Returns Prepared** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Field Assistance<br>Service To Each Taxpayer |
| Responsible Official | Director, Strategy & Finance |
| Definition | The total number of tax returns prepared at Taxpayer Assistance sites. (This includes (Earned Income Tax Credit (EITC), e-file and paper/non e-file) |
| Reporting Level (s) Report<br>Data Source<br>Reports | Operating Division, Area<br>Resource Management Information System<br>Monthly Business Performance Summary |
| Formula/Methodology | The total number of units recorded daily on form 5311. A "unit" represents a customer assisted with return preparation. One unit is recorded for each customer assisted. |
| Data Source/<br>Measurement Tools | Resource Management Information System (RMIS) |
| Reliability of Data | Questionable/Unknown Accuracy (Form 5311 is manually completed) |
| Frequency of Data Availability/Reporting | Monthly |

| 36 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Telephone Customer Satisfaction (Automated Collection System )(ACS)** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services – Payment Compliance<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Customer's perception of IRS service received through the ACS system. LIMITATIONS on survey respondents not affecting the statistical validity are as follows: ACS outgoing calls are not included in the survey due to technological limitations, and customers calling when IRS monitors are not available (Saturday, Sunday and some evening hours) are excluded from the survey. IRS is also looking at ways to improve survey participation within its Spanish-speaking community. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site, Enterprise<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Sample sizes selected to provide maximum of +/- 5% confidence interval at a 95% confidence level for lowest reporting of organization. A representative sample of customers calling the IRS Toll-Free telephone numbers are surveyed by an independent contractor to assess their satisfaction with the service they received during their calls. W&I/CAS receive Customer Satisfaction Survey reports from the IRS survey vendor, Pacific Consulting Group. |
| Data Source/Measurement Tools | Customer Satisfaction Surveys |
| Reliability of Data | Reasonable Accuracy – PCG compiles, verifies, and reports on the survey data. The service worked with PCG to design the survey process so that the Service can maintain an "arms' length" relationship with the data gathering and reporting processes. |
| Frequency of Data Availability/Reporting | Quarterly |

| 37 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Automated Collection System Closures – Taxpayer Delinquent Accounts (TDA)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services – Payment Compliance<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Number of entity closures produced in the Automated Collection System (minus systemic reductions). Data is reported as entities. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating division, site, enterprise<br>Collection Activity Report<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | TDA entity dispositions: line 15.2, col. A, minus entity systemic line 15.2.4 col. A. Systemic reductions are cases closed off Automated Collection System (ACS) based on age and risk, not due to ACS actions. |
| Data Source/<br>Measurement Tools | Collection Activity Reports (CAR) NO-5000-1W (monthly) and/or 2W (cumulative)<br>Source of CAR data is Integrated Data Retrieval System |
| Reliability of Data | Reasonable Accuracy – data at the National level is good. Site level data is of questionable accuracy because the Collection Activity Reports are configured according to the old district office organization, not the Automated Collection System workload alignment or the new IRS reorganization. The problem will be corrected with the completion of the service center realignment scheduled for the end of calendar year 2002. |
| Frequency of Data Availability/Reporting | Monthly |

| 38 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment – Small Business/Self Employed |
| Measure Name | **Automated Collection System Closures – Taxpayer Delinquent Investigations (TDI)** |
| Type of Measure | Business Result - Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services – Payment Compliance<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Number of Closures (entities) produced in the Automated Collection System (minus systemic inventory reductions). |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site, Enterprise<br>Collection Activity Report<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Calculated taking the total of Line 12.11, Col. A, TDI Taxpayer (TP) Dispositions minus total of Line 12.11.4, Col. A, TDI TP Systemic Dispositions. Line 12.11.4 is new data that is not reflected in the baseline and projections. |
| Data Source/<br>Measurement Tools | Collection Activity Reports (CAR) TDI TP Dispositions NO-5000-3W (monthly) and/or 4W (cumulative)<br>Source CAR data is Integrated Data Retrieval System |
| Reliability of Data | Reasonable Accuracy – data at the National level is good. Site level data is of questionable accuracy because the Collection Activity Reports are configured according to the old district office organization, not the Automated Collection System workload alignment or the new IRS reorganization. The problem will be corrected with the completion of the service center realignment scheduled for the end of calendar year 2002. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 39 | DESCRIPTION |
|---|---|
| Operating Division | Small Business/Self Employed and Wage and Investment |
| Measure Name | **Automated Collection System (ACS) Level of Service** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services – Payment Compliance<br>Service to All Taxpayers |
| Responsible Official | SBSE: Director, Strategy, Research & Performance Management<br>WI: Director, Strategy & Finance |
| Definition | The percentage of calls attempted (demand) compared to the number of calls answered (calls which abandon after having been answered but while in queue for the next available assistor are not included in the count of calls answered) in the Automated Collection System (ACS). |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site, Enterprise<br>Workload Inventory Tracking System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Percentage of total calls answered (minus abandons) divided by total call attempts |
| Data Source/<br>Measurement Tools | Workload Inventory Tracking System (WITS) Report<br>Customer Service Snapshot Report |
| Reliability of Data | Reasonable Accuracy – On a daily basis, each site gathers call data from the Aspect and/or Telephone Routing Interactive System (TRIS) applications and inputs the data into WITS. Each site is responsible for monitoring data input and making corrections as necessary. National Office also monitors data input and looks for anomalies. When anomalies are identified, National Office contacts the site for validation and/or correction. |
| Frequency of Data Availability/Reporting | Monthly |

| 40 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Customer Satisfaction – Collection Field** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services – Payment Compliance Field Collection<br>Service to All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | Customers overall level of satisfaction with the way their cases were handled by the IRS Field Collection program. LIMITATIONS: The following limitations are placed on the Collection sample: only those customers who owe money to the IRS and have been referred to Collection are sampled. Samples drawn from the CQMS database only include three types of closures; Currently Not Collectible/Hardship, Installment Agreements, and Full Pays. The sample does not include: cases with no case history, cases for customers the IRS cannot locate, cases where the statute has expired, bankruptcy cases, deceased taxpayers, and defunct or insolvent corporations. For cases involving an Offer in Compromise, only those offers that are accepted by the IRS are included. Upon conversion of the Integrated Collection System (ICS) database the survey will be expanded to include the entire range of Collection cases. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Territory, Area<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | The score represents the average overall level of customer satisfaction ("keystone" question) from the Customer Satisfaction Transactional Surveys. Survey recipients are asked to rate IRS performance on a seven-point scale, where 1 indicates *Very Dissatisfied* and 7 indicates *Very Satisfied.* |
| Data Source/<br>Measurement Tools | Contractor database managed by the Customer Satisfaction group. |
| Reliability of Data | Reasonable Accuracy - Sample sizes are selected to provide maximum of +/- 5% confidence interval at a 95% confidence level. The Collection sample for customer satisfaction purposes is drawn from the Collection Quality Measurement System (CQMS) database and sent to an independent contractor on a monthly basis. The contractor uses a mail-out survey to obtain information on customers' perceptions of the service they receive and to identify opportunities for |

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| | improving service to Collection customers. |
| Frequency of Data Availability/Reporting | Quarterly |

| 41 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Field Collection – Number of Cases Closed Taxpayer Delinquent Account (TDA)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Field Collection Payment and Filing Compliance Program<br>Service to All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | A count of the number of actual TDA dispositions completed by field Revenue Officers on a monthly basis. A TDA disposition arises on IDRS when the status of an account changes from an open status to a closed status (any) as defined in Section 8 of Document 6209 (ADP/IDRS Information.) The measure is reported as modules. |
| Reporting Level (s)<br>Reporting Data Source<br>Reports | Operating Division, Area<br>Collection Activity Reports<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Systemic Analysis is performed by IDRS as part of weekly batch processing. The analysis program reviews account status for all accounts with the unique TSIGN for Field Collection and does a comparison to the account status in the prior week. Those accounts that have changed from an open status to a closed status are extracted for inclusion in the monthly disposition count. |
| Data Source/<br>Measurement Tools | NO-5000-1 Taxpayer Delinquent Account Report or NO-5000-2 Taxpayer Delinquent Account Cumulative Report. The dispositions are extracted by computer analysis on the Integrated Data Retrieval System (IDRS). |
| Reliability of Data | Reasonable Accuracy. The number of TDAs disposed is determined by computer analysis on the IDRS computer system. Reports are compiled monthly with data extracted as part of weekend processing. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 42 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Field Collection – Number of Cases Closed Taxpayer Delinquent Investigation (TDI)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Field Collection Payment and Filing Compliance Program<br>Service to All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | A count of the number of actual TDI dispositions completed by field Revenue Officers on a monthly basis. This measure reflects actual Taxpayer Delinquent Investigation Dispositions and is reported as entities. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Collection Activity Report<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Actual dispositions. |
| Data Source/<br>Measurement Tools | NO-5000-3 Taxpayer Delinquent Investigation Report or NO-5000-4 Taxpayer Delinquent Investigation Cumulative The dispositions are extracted by computer analysis on the Integrated Data Retrieval System (IDRS). |
| Reliability of Data | Reasonable Accuracy. The number of TDIs disposed is determined by computer analysis on the IDRS computer system. Reports are compiled monthly with data extracted as part of weekend processing. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 43 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Field Collection Quality** |
| Type of Measure | Business Results – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services – Payment Compliance<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | The score awarded to a reviewed Collection case by a third-party reviewer using the Collection Quality Measurement System (CQMS) quality standards. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Territory, Area<br>Collection Quality Measurement System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | CQMS Composite Score is computed based on 19 quality standards taken from the CQMS check sheet. Each standard has a value of four points. However, four of these standards have been designated as critical and are weighted more heavily. Failure to meet any one of the critical standards results in the deduction of 24 points from the overall composite score. |
| Data Source/<br>Measurement Tools | CQMS database |
| Reliability of Data | Reasonable Accuracy: At the national level the data is accurate. Until the service center realignment is complete factors that influence the reliability of the data include the accuracy of individual case reviews, sample size, age of the sample being reviewed and the way in which the results are compiled. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 44 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Offers In Compromise Processed** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Field Collection Payment and Filing Compliance Program<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | Offers in Compromise (OIC) processed by IRS employees |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Automated Offer In Compromise System<br>Monthly Business Performance Summary |
| Formula/Methodology | The number of offers processed from receipt to disposition and notification of the taxpayer of the outcome |
| Data Source/<br>Measurement Tools | Automated Offer in Compromise System (AOIC) |
| Reliability of Data | Questionable Accuracy - The receiving employee enters the data into the Automated Offer in Compromise (AOIC) system. Therefore the data is subject to the obstacles of manually input data. Also, different individuals in different areas input the data. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 45 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment/Small Business and Self-Employed |
| Measure Name | **Automated Underreporter Customer Satisfaction** |
| Type of Measure | Customer Satisfaction |
| Program Category<br>Related Strategic Goal | Post-filing<br>Service to Each<br>Service to All |
| Responsible Official | AUR Program/OPERA |
| Definition | Average overall level of customer satisfaction from the Customer Satisfaction Transactional Surveys. |
| Reporting Level (s)<br>Report Data Source:<br>Reports | Operating Division,Site<br>Contractor Database<br>Monthly Business Performance Summary |
| Formula/Methodology | Average overall level of customer satisfaction (“keystone” question) from the Customer Satisfaction Transactional Surveys |
| Data Source/ Measurement Tools | Customer satisfaction surveys |
| Reliability of Data | Reasonable Accuracy. Sample sizes selected to provide maximum of +/- 5% confidence interval at a 95% confidence level for lowest reporting of organization. The AUR Control System Closed Case database will identify valid samples of cases closed during the month. An independent contractor surveys these taxpayers via a mail-out survey to assess customer satisfaction with the Service Center Examination process. |
| Frequency of Data Availability/Reporting | Quarterly |

| 46 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment, Small Business/Self Employed |
| Measure Name | **Automated Underreporter (AUR) Closures** |
| Type of Measure | Business Results – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Total number of closures of Automated Underreporter Cases. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Automated Underreporter Control System<br>Monthly Business Performance Summary |
| Formula/Methodology | Total number of AUR cases in closed status. The historical average is approximately 1.15 cases closed per hour. |
| Data Source/ Measurement Tools | Data is acquired through the Automated Underreporter Control System. |
| Reliability of Data | Reasonable Accuracy - AUR Control System -This system controls and captures information on AUR cases. Reports are printed off this system. They are used by management for operational decisions and reported to National Office (NO) for the MISTLE (Management Information System for Top Level Executives) reports. Information is loaded onto the WP & C (Work Planning and Control) system and have identified OFP (Organization Function Program) codes. |
| Frequency of Data Availability/Reporting | Monthly |

| 47 | DESCRIPTION |
|---|---|
| Operating Division (s) | Wage and Investment , Small Business and Self Employed |
| Measure Name | **Automated Underreporter (AUR) Quality** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service To All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The quality of all AUR account actions as a result of taxpayer inquiries or internal requests. (Paper Only, Post Review) |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Quality Review Database (QRDb)<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Closed cases are reviewed by a Quality Reviewer at local AUR sites using a standardized data collection instrument (DCI) within the Quality Review Database (QRDB). |
| Data Source/<br>Measurement Tools | Customer Service Quality Review Database (QRDB) |
| Reliability of Data | Reasonable Accuracy. The QRDB contains several levels of validation that occur as part of the review process: 1.) The input records are validated requiring entries and combinations of entries based upon the relationships inherent in different product lines or based upon an entry in a quality attribute. 2.) The National reviews conducted at the various sites for paper product lines are sampled by local management or management officials. In addition, every review record is available on-line to the functional area for verification purposes. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 48 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment and Small Business/Self Employed |
| Measure Name | **Correspondence Examination Customer Satisfaction** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Electronic/Correspondence Exam Tax Reporting Compliance Program<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Customer's overall level of satisfaction with the IRS Service Center Examination process. LIMITATIONS: The following limitations are placed on the service center examination sample: sole proprietors and self-employed individuals and farmers, as well as individual shareholders and partners examined as a result of a corporate audit are included in the sample. The sample does not include businesses that file corporate and partnership returns, individuals who did not respond to correspondence and audit appointment letters, individuals IRS cannot locate and individuals with an international address. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | The score represents the average overall level of customer satisfaction ("keystone" question) from the Customer Satisfaction Transactional Surveys. Survey recipients were asked to rate IRS performance on a seven-point scale, where 1 indicates *Very Dissatisfied* and 7 indicates *Very Satisfied*. |
| Data Source/<br>Measurement Tools | Contractor Database managed by the Customer Satisfaction group. |
| Reliability of Data | Reasonable Accuracy – Sample sizes are selected to provide a maximum of +/- 5% confidence level. The Audit Information System (AIMS) Closed Case database is programmed to generate valid samples of cases closed during the month. An independent contractor surveys these taxpayers via a mailout survey to obtain information on customers' perceptions of the service they receive and to identify opportunities for improving service to Service Center Examination customers. |
| Frequency of Data<br>Availability/Reporting | Quarterly |

| 49 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment and Small Business/Self Employed |
| Measure Name | **Total Number of Correspondence Returns Examined** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Electronic/Correspondence Exam Tax Reporting Compliance Program<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | The number of closures produced in service center examination. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Site, Area<br>Audit Information Management System Closed Case database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Total Closures (for 5 W & I sites) from Audit Information Management System (AIMS) Closed Case Database plus non-examined closures from the non-examined database plus Audit Recon closures from Work Planning&Control (WP&C). |
| Data Source/<br>Measurement Tools | AIMS closed case database, non-examined database and WP&C. |
| Reliability of Data | Reasonable Accuracy – The Earned Income Tax Credit (EITC) database is based on manual counts of actions taken. The Audit Reconsideration volumes come from timesheet information. There are no systemic validity checks for either of these data sources. The AIMS system contains numerous validity checks to help ensure the accuracy of the data reported. |
| Frequency of Data Availability/Reporting | Monthly |

| 50 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment and Small Business/Self Employed |
| Measure Name | **Correspondence Examination Quality** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Electronic/Correspondence Exam Tax Reporting Compliance Program<br>Service to All Taxpayers |
| Responsible Official | WI: Director, Strategy & Finance<br>SBSE: Director, Strategy, Research & Performance Management |
| Definition | Quality of actions taken while working service center examination cases. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area, Site<br>Quality Review Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | A predetermined sample of cases for each site is selected based on number of closed cases and accuracy rate. Accuracy rates can be obtained from Quality Review Database (QRDB). |
| Data Source/<br>Measurement Tools | Quality Review Database (QRDB) |
| Reliability of Data | Reasonable Accuracy – The QRDB has various systemic checks and will not accept records of reviewed calls that do not contain the correct information for each field. Reviews are conducted at the site level. These reviews are sampled by local management or by management officials at the Centralized Quality Review System (CQRS) site. Every review record is available on-line for verification purposes. Sites monitor their review records daily and have a small rebuttal period to contest results of any review. The database is designed to generate exception reports to identify errors. National Office analysts also review reports to verify that the sample extracts and volumes are calculated correctly. The database developers conduct random reviews of data for validation purposes. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 51 | DESCRIPTION |
|---|---|
| Operating Division | Small Business and Self Employed |
| Measure Name | **Field Exam Customer Satisfaction** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Field Examination Tax Reporting Compliance Program<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research and Performance Management |
| Definition | Customers' overall level of satisfaction with the way their cases were handled by the Field Examination Program |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area, Territory and Campus<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | The score represents the average overall level of customer satisfaction ("keystone" question) from the Customer Satisfaction Transactional Surveys. Survey recipients were asked to rate IRS performance on a seven-point scale, where 1 indicates *Very Dissatisfied* and 7 indicates *Very Satisfied*. LIMITATIONS: the survey population is based solely on the audit closures of individual taxpayers. Audit closures involving Estate, Corporate, Excise and Gift tax returns are not included in the survey population. The measure does not include contacts that the Examination division had with individuals that did not result in an audit closure. In future years divisions will focus on identified improvement opportunities to further improve survey results, as well as focus efforts to improve survey response rates, which will include the addition of corporate taxpayers in the survey process as part of the measurement system for the SB/SE and LMSB business units. |
| Data Source/<br>Measurement Tools | Contractor Database managed by the Customer Satisfaction group |
| Reliability of Data | Reasonable Accuracy – Sample sizes selected to provide maximum of +/- 5% confidence interval at 95% confidence level. The Audit Information Management System (AIMS) Closed Case database is programmed to generate valid samples of cases closed during the month. An independent contractor surveys these taxpayers via a mail out survey to obtain information on customers' perceptions of the service they received and to identify opportunities for improving service to Examination customers. |

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| Frequency of Data Availability/Reporting | Quarterly |

| 52 | DESCRIPTION |
|---|---|
| Operating Division | Small Business Self Employed |
| Measure Name | **Individual Return Examinations > $100K** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Field Examination Tax Reporting Compliance Program<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research and Performance Management |
| Definition | Number of Individual (Form 1040) returns closed through a time period from the beginning of the fiscal year with a total positive income or total gross receipts greater than $100,000. |
| Reporting Level (s)<br>Report Data Source<br>Report | Operating Division, Area, Territory<br>Audit Information Management System Closed Case Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Sum of the returns of Individual Examinations (Form 1040) in activity classes of 534,537 and 539 closed cumulative through the time period. |
| Data Source/<br>Measurement Tools | Audit Information Management System (AIMS) Closed Case Database |
| Reliability of Data | Reasonable Accuracy – there are various management reviews before an entry is input to AIMS. If the input does not pass validity and consistency checks as it is entered into AIMS, it is rejected. It must be corrected before the data is accepted, posted on AIMS, and sent to the Master File. If the data fails any Master File systemic checks, it is rejected and sent back to the originator for necessary action. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 53 | DESCRIPTION |
|---|---|
| Operating Division | Small Business Self Employed |
| Measure Name | **Individual Return Examinations < $100K** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Field Examination Tax Reporting Compliance Program<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research and Performance Management |
| Definition | Number of Individual (Form 1040) returns closed through a time period from the beginning of the fiscal year with a total positive income or total gross receipts less than $100,000. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area, Territory<br>Audit Information Management System Closed Case Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Sum of the returns of Individual Examinations (Form 1040) in activity classes of 530,531,532,533,535,536, and 538 closed cumulative through the time period. |
| Data Source/<br>Measurement Tools | Audit Information Management System (AIMS) closed case database |
| Reliability of Data | Reasonable Accuracy – there are various management reviews before an entry is input to AIMS. If the input does not pass validity and consistency checks as it is entered into AIMS, it is rejected. It must be corrected before the data is accepted, posted on AIMS, and sent to the Master File. If the data fails any Master File systemic checks, it is rejected and sent back to the originator for necessary action. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 54 | DESCRIPTION |
|---|---|
| Operating Division | Small Business Self Employed |
| Measure Name | **Total Individual Returns Examined** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Field Examination Tax Reporting Compliance Program<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | Combined count of the Number of Individual (Form 1040) returns closed through a time period from the beginning of the fiscal year with a total positive income or total gross receipts less than or greater than $100,000. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area, Territory<br>Audit Information Management System Closed Case Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Combines the results of Critical Measures:<br>Individual Return Examinations < $100K (2570)<br>Individual Return Examinations > $100K (2580) |
| Data Source/<br>Measurement Tools | Data for critical measures 2570 and 2580 originates from the Audit Information Management System (AIMS) Closed Case Database |
| Reliability of Data | Data for critical measures 2570 and 2580 is of Reasonable Accuracy – there are various management reviews before an entry is input to AIMS. If the input does not pass validity and consistency checks as it is entered into AIMS, it is rejected. It must be corrected before the data is accepted, posted on AIMS, and sent to the Master File. If the data fails any Master File systemic checks, it is rejected and sent back to the originator for necessary action. |
| Frequency of Data Availability/Reporting | Monthly |

| 55 | DESCRIPTION |
|---|---|
| Operating Division | Small Business Self Employed |
| Measure Name | **Field Exam Case Quality Score** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Field Examination Tax Reporting Compliance Program<br>Service To All Taxpayers |
| Responsible Official | Director, Strategy, Research & Performance Management |
| Definition | The score awarded to a reviewed Field Examination cases by a Quality Reviewer using the Examination Quality Measurement System (EQMS) quality standards. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Examination Quality Measurement System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | The EQMS composite score is based on 8 quality standards, with a variety of elements within each standard. Each standard has a value of 12.5 points. However, 16 elements have been designated as key and are weighted more heavily. Failure to meet a key element within a standard results in a loss of the overall standard. |
| Data Source/<br>Measurement Tools | Examination Quality Measurement System |
| Reliability of Data | Reasonable Accuracy – Factors that influence the reliability of the data include the accuracy of individual case reviews, sample size, age of sample being reviewed, and accuracy of case selection. EQMS sites have established a 3-tier validity process to ensure consistency. |
| Frequency of Data<br>Availability/Reporting | Quarterly |

| 56 | DESCRIPTION |
|---|---|
| Operating Division | Large and Mid-Size Business |
| Measure Name | **Number of Returns Examined (General Industry)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service to All Taxpayers |
| Responsible Official | Director, Quality Assurance & Performance Management |
| Definition | All Industry returns closed. Includes all classes of returns. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division and Industry Directors<br>Audit Information Management System<br>Business Performance Management System – Annual Program Performance Report |
| Formula/Methodology | System generated count of all returns closed by LMSB without an AIMS Coordinated Exam Program (CEP) indicator. (CEP indicators are placed on all primary and related Coordinated Industry return records.) |
| Data Sources/ Measurement Tools | Audit Information Management System (AIMS) closed case database, accessed via A-CIS (an MS Access application). |
| Reliability of Data | Reasonable Accuracy – the AIMS reporting system contains programming to eliminate potential multiple counting of multiple closures of the same return (e.g. – a return closes from Exam to Appeals, is returned to Exam for further work and then is closed from Exam a second time). The processing of closed cases is integrated with the AIMS reporting system. |
| Frequency of Data Availability/ Reporting | Monthly |

| 57 | DESCRIPTION |
|---|---|
| Operating Division | Large and Mid-Size Business |
| Measure Name | **Number of Cases Examined (Large Case)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service to All Taxpayers |
| Responsible Official | Director, Quality Assurance & Performance Management |
| Definition | The number of regular Coordinated Industry cases closed during the period ("R1" cases; i.e. – <u>not</u> including claim cases, cases returned from Appeals, or non-examined closures).<br>A Coordinated Industry case consists of one or more tax years of the primary taxpayer (usually a large corporate return) plus all related returns examined in conjunction with the primary taxpayer. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division and Industry Directors<br>Centralized Automated Management Information System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Coordinated Examination Management Information System (CEMIS) records and reports information on the basis of cases, not individual returns.<br>A count of case closures for a given period is generated by CEMIS based on the "date closed from examination" entered by the field personnel. |
| Data Sources/<br>Measurement Tools | CEMIS, a centralized automated management information system<br>Coordinated Industry case information (including closures) is input to CEMIS by field personnel, and is reported via standard reports. |
| Reliability of Data | Reasonable Accuracy - Individual case closures reflected on CEMIS are monitored monthly by first and second level management. Due to the small population of Coordinated Industry (Large Case) cases, discrepancies between actual and reported closures are readily identified and corrected. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 58 | DESCRIPTION |
|---|---|
| Operating Division | Large and Mid-Size Business |
| Measure Name | **Number of Returns Closed (Large Case)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service to All Taxpayers |
| Responsible Official | Director, Quality Assurance & Performance Management |
| Definition | All Coordinated Industry corporate (F1120) returns closed with activity codes 203 through 225. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division and Industry Directors<br>Audit Information Management System Closed Case Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | System generated count of all corporate returns closed by LMSB with an AIMS CEP indicator. |
| Data Sources/<br>Measurement Tools | Audit Information Management System (AIMS) closed case database, accessed via A-CIS (an MS Access application). |
| Reliability of Data | Reasonable Accuracy – the AIMS reporting system contains programming to eliminate potential multiple counting of multiple closures of the same return (e.g. – a return closes from Exam to Appeals, is returned to Exam for further work and then is closed from Exam a second time). |
| Frequency of Data<br>Availability/ Reporting | Monthly |

| 59 | DESCRIPTION |
|---|---|
| Operating Division | Tax Exempt and Government Entities |
| Measure Name | **Employee Plans and Exempt Organizations Customer Satisfaction** |
| Type of Measure | Customer Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | Compliance<br>Service To Each Taxpayer |
| Responsible Official | Director, Planning |
| Definition | Customers' overall level of satisfaction with the way their cases were handled by the IRS Employee Plans and Exempt Organizations Determination programs. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Contractor Database<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Survey respondents rated EP and EO Examination service on a 7point scale, where 1 equals "Very Dissatisfied" and 7 equals "Very Satisfied." The overall satisfaction score represents the average of all customer responses to the question, "Regardless of whether you agree or disagree with the final outcome, how would you rate your overall satisfaction with the way your case was handled?" The two overall satisfaction scores, one from the EP Examination survey and one from the EO Examination survey, are then averaged to produce a single overall satisfaction score |
| Data Sources/<br>Measurement Tools | Customer Satisfaction Surveys conducted by an independent research company managed by the Organizational Performance Division. |
| Reliability of Data | Reasonable Accuracy – The overall satisfaction scores for EP and EO Examination are based on surveys mailed to all eligible customers with closed examination cases with the goal of producing estimates of customer satisfaction with no more than a +/- 5 margin of error at the 95% confidence level. |
| Frequency of Data Availability/Reporting | Statistically valid estimates of customer satisfaction for EP and EO Examination service are available quarterly at the National level and annually at the Area-office level. |

| 60 | DESCRIPTION |
|---|---|
| Operating Division | Tax Exempt and Government Entities |
| Measure Name | **Employee Plans and Exempt Organizations Examinations Closed** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service to All Taxpayers |
| Responsible Official | Director, Planning |
| Definition | The number of Employee Plan and Exempt Organization return examinations closed in all categories. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Audit Information Management System for TE/GE<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Fiscal-year cumulative count of the total return examinations closed |
| Data Sources/<br>Measurement Tools | TE/GE Audit Information Management System (AIMS) |
| Reliability of Data | Reasonable Accuracy. AIMS is programmed to generate regular error registers that identify possible data discrepancies The Director, EO Examinations and EP Examinations are responsible for correcting errors and the Director, Business Systems Planning monitors the error registers to ensure correction accuracy. Periodically, AIMS is SAT (systems acceptability testing) tested to ensure it is programmed to work in accordance with system requirements. In addition, the data collection system is checked periodically to ensure that the reports produced are correct. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 61 | DESCRIPTION |
|---|---|
| Operating Division | Tax Exempt and Government Entities |
| Measure Name | **EP and EO Examination Quality** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Tax Reporting Compliance<br>Service to All Taxpayers |
| Responsible Official | Director, Planning |
| Definition | The level of quality in the EP or EO examination program, as measures by the Tax Exempt Quality Measurement System (TEQMS). |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Tax Exempt Quality Measurement System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Fiscal-year cumulative score. The quality score is the average percentage of quality standards rated met (number of standards passed divided by the number of standards rated for the reviewed cases). |
| Data Source/<br>Measurement Tools | TEQMS. Quality Measurement staff rate case quality by completing electronic input forms on sampled cases. Data is up-loaded into the TEQMS database and numeric scores are calculated automatically from rating information. |
| Reliability of Data | Annual sample size selected to provide a +/- 7% margin of error at a 95% confidence level. The EP/EO return Inventory Control System (ERICS) samples cases that are ready for closing at the group level on a daily basis. Both electronic input forms and the TEQMS database contain information validity checks. Errors are resolved by Special Review and Headquarters staff. |
| Frequency of Data<br>Availability/Reporting | Quarterly |

| 62 | DESCRIPTION |
|---|---|
| Operating Division | Wage and Investment |
| Measure Name | **Determinations Made & Claimant Notified (formerly Innocent Spouse Modules Closed** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Compliance – Innocent Spouse Project Office<br>Service to All Taxpayers |
| Responsible Official | Director, Strategy & Finance |
| Definition | Straight line addition of all cases where the taxpayer has filed a Form 8857, Claim for Innocent Spouse Relief and IRS has accepted the case. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>Integrated Data Retrieval System (IDRS), Command Code ISTSR<br>Monthly Business Performance Summary |
| Formula/Methodology | The system tracks cases through entire process & involves 21 stages. The information contained in the tracking system is run through a software program (SAS). This generates the reports and statistics. |
| Data Source/<br>Measurement Tools | Innocent Spouse Tracking System, currently the information is input into the Integrated Data Retrieval System (IDRS) through the command code ISTSR. |
| Reliability of Data | Reasonable Accuracy – Employees in the field offices and the Centralized Innocent Spouse Site input updates into the system. The Detroit Computing Center processes this data and it is downloaded to the Memphis Computing Center. At the National Office, an analyst downloads the information and runs it through a software program to generate reports. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 63 | DESCRIPTION |
|---|---|
| Operating Division | Appeals |
| Measure Name | **Appeals Cases Closed (Total Disposals)** |
| Type of Measure | Business Result – Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Appeals Compliance Program<br>Service to All Taxpayers |
| Responsible Official | National Chief Appeals<br>Director, Appeals LMSB Operating Unit<br>Director, General Appeals Operating Unit |
| Definition | Total Cases Closed (Total Disposals) equals the total number of cases closed in Appeals. This includes both non-docketed and docketed cases. (A docketed case is one in which a taxpayer has filed a petition in the Tax Court.) This measure is currently reported as workunits A workunit represents a single case or group of related cases, which are being considered by Appeals as one unit for settlement of decision purposes. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Area<br>ACDS Table 11/Selected Statistics Reports<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | A case is considered closed at the point it is closed on the Appeals Centralized Database System (ACDS). |
| Data Sources/<br>Measurement Tools | Appeals Centralized Database System (ACDS) |
| Reliability of Data | Reasonable accuracy: The ACDS includes front-end accuracy/consistency checks and cross-validations (prior to transmission of data for storage. ACDS also includes numerous reports for validating data with other parts of IRS such as UNImatch, AIMS validation and Status 81 list.<br>ACDS includes annual physical and electronic inspections and verification of statutes. |
| Frequency of Data Availability/Reporting | Monthly |

| **64** | DESCRIPTION |
|---|---|
| Operating Division | Criminal Investigation |
| Measure Name | **Subject Criminal Investigations Initiated** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Investigations Initiated<br>Service to All Taxpayers |
| Responsible Official | Chief, Criminal Investigation |
| Definition | Cumulative count of the number of subject Criminal investigations initiated through Form 4930 and approved by the Field Office Special Agent in Charge |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Criminal Investigation Management Information System<br>Monthly Business Performance Summary |
| Formula/Methodology | Total of all investigations coded as a subject criminal investigation initiated and entered into CIMIS during the cumulative time period. |
| Data Sources/<br>Measurement Tools | CI Management Information System (CIMIS) |
| Reliability of Data | Reasonable Accuracy – All cases have a unique number assigned through an automated input system which contains validity and business rule checks. The system tracks the status of the investigation from initiation through legal review and final disposition. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| **65** | DESCRIPTION |
|---|---|
| Operating Division | Chief Counsel |
| Measure Name | **Tax Court Cases** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | Post-Filing Compliance Services<br>Service to All Taxpayers |
| Responsible Official | Special Counsel (Modernization & Strategic Planning) |
| Definition | Tax Court Cases reflects the number of cases that petitioners have filed to be heard before the United States Tax Court. The United States Tax Court provides the principal forum in which taxpayers can contest tax assessments and obtain judicial determination of the extent of their tax liabilities. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Counsel Automated System Environment Management Information System<br>Monthly Business Performance Summary |
| Formula/Methodology | Total workload for Tax Court Cases is comprised of two components - the number of pending cases already in inventory (beginning inventory) and new cases received (receipts) in any given fiscal year. Each case is accounted for from date of receipt to date of closure. Data tracked is based on the count of total cases on hand during the fiscal year. |
| Data Source | CASE-MIS (Counsel Automated System Environment – Mgmt. Information System) and Tax Litigation-Counsel Automated Tracking System (TL-CATS) database |
| Reliability of Data | Reasonable Accuracy. Total Tax Court Cases are logged in the CASE- MIS and TL-CATS project tracking systems by the individuals involved with each case. Each Division Counsel involved in the Tax Court effort receives and verifies a quarterly run of case workload under their responsibility. |
| Frequency of Data Availability/Reporting | Quarterly. |

| 66 | DESCRIPTION |
|---|---|
| Operating Division | Chief Counsel |
| Measure Name | **Tax Court Receipts** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2 Related Strategic Goal | Post-Filing Compliance<br>Service to All Taxpayers |
| Responsible Official | Office of the Chief Counsel |
| Definition | Tax Court Receipts reflect the number of new cases that petitioners have filed to be heard before the United States Tax Court. The United States Tax Court provides the principal forum in which taxpayers can contest tax assessments and obtain judicial determination of the extent of their tax liabilities. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division<br>Counsel Automated System Environment – Management Information System<br>Monthly Business Performance Summary |
| Formula/Methodology | Total workload for Tax Court Cases is comprised of two components - the number of pending cases already in inventory (beginning inventory) and new cases received (receipts) in any given fiscal year. Each case is accounted for from date of receipt to date of closure. Data tracked is based on the count of total cases on hand during the fiscal year. |
| Data Source | CASE-MIS (Counsel Automated System Environment – Mgmt. Information System) and TL-CATS (Tax Litigation-Counsel Automated Tracking System) databases |
| Reliability of Data | Reasonable Accuracy. Total Tax Court Receipts are logged in the CASE- MIS and TL-CATS project tracking systems by the individuals involved with each case. Each Division Counsel involved in the Tax Court effort receives and verifies a quarterly run of case workload under their responsibility. |
| Frequency of Data Availability/Reporting | Quarterly. |

| 67 | DESCRIPTION |
|---|---|
| Operating Division | Taxpayer Advocate Service |
| Measure Name | **Taxpayer Advocate Service (TAS) Closed Cases** |
| Type of Measure | Business Result - Quantity |
| 1. Program Category<br>2. Related Strategic Goal | Post-Filing Compliance Services<br>Service to All Taxpayers |
| Responsible Official | Director, Program Planning & Quality |
| Definition | Straight line addition of the total number of regular criteria cases worked in TAS and closed on the Taxpayer Advocate Management Information System (TAMIS) |
| Reporting Level (s)<br>Report Data Source<br>Reports | Division, Area, Campus<br>Taxpayer Advocate Management Information System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | A systemic count from a data extract report  the number of regular criteria cases closed on TAMIS |
| Data Source/<br>Measurement Tools | TAMIS data base |
| Reliability of Data | Reasonable Accuracy- A TAS case is considered closed when all actions have been taken to resolve the taxpayer's problem(s) and the taxpayer or representative has been notified.  TAMIS is updated as cases are closed.  The total number of cases worked in TAS and closed on TAMIS will be calculated using a data extract report from TAMIS on a monthly basis. |
| Frequency of Data Availability/Reporting | Monthly |

| 68 | DESCRIPTION |
|---|---|
| Operating Division | Taxpayer Advocate Service |
| Measure Name | **Casework Quality Index** |
| Type of Measure | Business Result – Quality |
| 1. Program Category<br>2. Related Strategic Goal | Compliance Services<br>Service To All Taxpayers |
| Responsible Official | Director, Program Planning & Quality |
| Definition | A tool to measure effectiveness in meeting customer expectations based on a random sample of cases reviewed and scored against customer service standards of timeliness, accuracy, and communication. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Division/Area/Group<br>Taxpayer Advocate Management Information System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | A valid random local sample of cases reviewed and scored against customer service standards of timeliness, accuracy and communication. The quality index score is the number of points achieved divided by the total applicable points (on a 100-point scale) |
| Data Source/<br>Measurement Tools | Taxpayer Advocate Management Information System (TAMIS); Microsoft Access database |
| Reliability of Data | Reasonable Accuracy – A Taxpayer Advocate (TAS) case is considered closed when all actions have been taken to resolve the taxpayer's problem(s) and the taxpayer or representative has been notified. TAMIS is updated as cases are closed. The closed case data will be fed into an MS Access database. TAS will use appropriate statistical techniques to ensure random sampling of taxpayers to measure the effectiveness in meeting customer expectations. |
| Frequency of Data<br>Availability/Reporting | Monthly |

| 69 | DESCRIPTION |
|---|---|
| Operating Division (s) | Servicewide |
| Measure Name | **Total Enforcement Revenue Collected (billions)** |
| Type of Measure | Diagnostic Indicator |
| 1. Related Strategic Goal | Service To All Taxpayers |
| Responsible Official | Headquarters Research N:ADC:R:R:RA, Research, Analysis and Statistics of Income |
| Definition | All revenue received as a result of activities performed by enforcement functions. Dollars secured by Appeals, Chief Counsel, Collection, Examination and the IRP/Underreporter program are captured. |
| Reporting Level (s)<br>Report Data Source<br>Reports | Operating Division, Collecting activity (function where the collection actually takes place).<br>Enforcement Revenue Information System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Tracks actual enforcement revenue including Automated Collection System, Field Collection, Revenue from Examination Assessments, Document Matching and Notice Dollars. |
| Data Source | Enforcement Revenue Information System (ERIS) |
| Reliability of Data | Reasonable Accuracy – ERIS data is based on extracts from several feeder systems, including the Master Files. The Master Files have extensive consistency and validity checks before returns are accepted and the data posted to taxpayer accounts. In addition to matching entity information and validating Taxpayer Identification Numbers (TINs), checks are conducted for duplicate and erroneous or fraudulent filings, math errors, etc. All of the systems on which the Master Files are recorded are maintained, updated, and routinely tested by Information Systems. |
| Frequency of Data Availability/Reporting | Monthly |

| 70 | DESCRIPTION |
|---|---|
| Operating Division | National Headquarters |
| Measure Name | **Agency-Wide Employee Satisfaction** |
| Type of Measure | Employee Satisfaction |
| 1. Program Category<br>2. Related Strategic Goal | General Management and Administration<br>Productivity Through a Quality Work Environment |
| Responsible Official | Chief Financial Officer |
| Definition | A measure of employee's satisfaction with their job at the IRS. At the Servicewide level the results of Item CO 1 (Considering everything, how satisfied are you with your job?) are used as the sole determining factor in the reported results. At the lower levels, survey questions regarding the employees perception of management practices, organizational barriers, and overall work environment that impacts an employees' efforts to do a good job are used in the results. |
| Reporting Level (s)<br><br>Report Data Source<br>Reports | Service-wide, rsults are also available down to an individual workgroup level and are used in the compilation of survey results by Division<br>Census Survey – Gallup (renewable agreement for 2001-2005)<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Census survey focused on workgroup issues. Employees may participate in the surveys by responding to them on-line; via telephone or by paper. Employees are asked to rate the IRS performance on a five-point scale, where 1 represents *strongly disagree* and 5 represents *strongly agree.* For Survey 2001, results reported by the survey contractor are reported as the percentage of IRS employees who answered question CO 1 with a favorable rating (4 - "agree" or 5 -"strongly agree"). The official ratings of employee satisfaction are calculated using the total number of favorable ratings (as identified above) as the numerator and the total number of responses to question CO 1 as the denominator, with a multiplication of that result by 100% (whole percentage rounded.) The IRS has also requested that the survey contractor provide a report of survey data that displays only the % of employees who rated question CO 1 with a rating of 5 -"strongly agree" (calculation remains the same, only the numerator changes.) Both reports will be considered the official servicewide numbers and will allow the IRS to compare data from prior years. |
| Data Source/<br>Measurement Tools | Annual Employee Satisfaction Survey consisting of an Employee census survey |
| Reliability of Data | Reasonable Accuracy – A contractor establishes a coding system and does a sample check of data to validate that employee input is correctly reported via paper or electronic media. The |

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| | contractor also establishes a coding system and does a sample check of data to associate survey results with the correct organizational unit. The contractor prepares and validates the accuracy of management reports. A manual check of a sample of reports is made by the Employee Satisfaction Staff to verify report accuracy. |
| Frequency of Data Availability/Reporting | Annually |

| 71 | DESCRIPTION |
|---|---|
| Operating Division (s) | Servicewide |
| Measure Name | **Servicewide FTE (including Earned Income Tax Credit )** |
| Type of Measure | Diagnostic Indicator |
| 5. Program Category<br>6. Related Strategic Goal | General Management & Administration<br>Productivity Through A Quality Work Environment |
| Responsible Official | Chief Financial Officer |
| Definition | Full Time Equivalents (FTE) (Staff resources) |
| Reporting Level (s)<br>Report Data Source<br>Reports | Division, results are also available down to an individual workgroup level.<br>Automated Financial System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Total number of straight-time hours (i.e., not including overtime or holiday hours) worked by employees divided by the number of compensable hours in a given fiscal year. |
| Data Source/ Measurement Tools | Two Years Before the Current Year and Older: The Budget of the United States; OMB<br>Previous Year: Automated Financial System, End-of-Year totals; CFO:SPB:X<br>Current Year and Beyond: Budget Formulation System, Financial Plan; CFO:SPB:F |
| Reliability of Data | Reasonable Accuracy |
| Frequency of Data Availability/Reporting | As requested. |

| 72 | DESCRIPTION |
|---|---|
| Operating Division (s) | Servicewide |
| Measure Name | **Number of FTEs in Taxpayer Contact Programs (including Earned Income Tax Credit )** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | General Management & Administration<br>Productivity Through a Quality Work Environment |
| Responsible Official | Chief Financial Officer |
| Definition | Full Time Equivalents (FTE) (staff resources) allocated to Taxpayer Contact programs.<br>This specifically includes:<br>Pre-Filing Management, Tax Law Interpretation, Taxpayer Education & Communication, Rulings & Agreements, Electronic Tax Administration, Taxpayer Advocacy<br>Filing Management, Toll Free & Adjustments, Accounts Management – Field Assistance<br>Post-Filing Management, Remote Collection, Field Collection, Doc Matching, Correspondence Exam, Field Exam, Criminal Investigation, Currency Transaction Reporting, Appeals, Counsel, Taxpayer Advocate Case Processing<br>This specifically excludes:<br>Submission Processing & Information Reporting, AWSS, CIO (except Currency Transaction Records), National Headquarters, and Business Unit General Management |
| Reporting Level (s)<br>Report Data Source<br>Reports | Division, data is also available down to the individual workgroup level.<br>Integrated Financial System<br>Monthly Business Performance Summary – Annual Program Performance Report |
| Formula/Methodology | Total number of straight-time hours (i.e., not including overtime or holiday hours) worked by employees divided by the number of compensable hours in a given fiscal year. |
| Data Source/ Measurement Tools | Two Years Before the Current Year and Older: The Budget of the United States; OMB<br>Previous Year: Automated Financial System, End-of-Year totals; CFO:SPB:X<br>Current Year and Beyond: Budget Formulation System, Financial Plan; CFO:SPB:F |

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|---|---|
| Reliability of Data | Reasonable Accuracy |
| Frequency of Data Availability/Reporting | As requested. |

| 73 | DESCRIPTION |
|---|---|
| Operating Division (s) | Servicewide |
| Measure Name | **FTE per Billion $ GDP** |
| Type of Measure | Diagnostic Indicator |
| 1. Program Category<br>2. Related Strategic Goal | General Management & Administration<br>Productivity Through A Quality Work Environment |
| Responsible Official | Chief Financial Officer |
| Definition | Servicewide employment as a proportion of national expenditures |
| Reporting Level (s)<br>Report Data Source<br>Reports | Servicewide<br>Bureau of Economic Analysis<br>Monthly Business Performance Summary |
| Formula/Methodology | Servicewide Full Time Equivalent (FTE) divided by billion dollars of Gross Domestic Product (GDP) |
| Data Source/<br>Measurement Tools | FTE:<br>Two Years Before the Current Year and Older: The Budget of the United States; OMB<br>Previous Year: Automated Financial System, End-of-Year totals; CFO:SPB:X<br>Current Year and Beyond: Budget Formulation System, Financial Plan; CFO:SPB:F<br>GDP:<br>Historical data provided by Department of Commerce, Bureau of Economic Analysis<br>Projections form OMB, in the Analytical Perspectives of the Budget of the United States |
| Reliability of Data | Reasonable Accuracy |
| Frequency of Data Availability/Reporting | GDP numbers are updated and made available on an annual basis. |